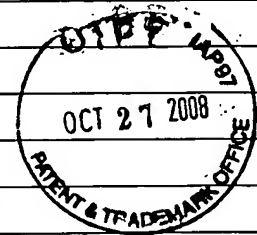


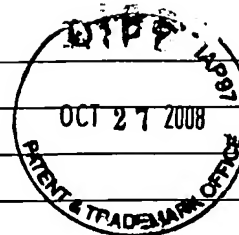
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> ( Not for submission under 37 CFR 1.99)	Application Number		10627921	
	Filing Date		2003-07-28	
	First Named Inventor	Steven M.H. Wallman		
	Art Unit	3692		
	Examiner Name	Meinecke Diaz, Susanna M.		
	Attorney Docket Number	10392/460044		



U.S. PATENTS									
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear			
	1								
If you wish to add additional U.S. Patent citation information please click the Add button.									
U.S. PATENT APPLICATION PUBLICATIONS									
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear			
	1								
If you wish to add additional U.S. Published Application citation information please click the Add button.									
FOREIGN PATENT DOCUMENTS									
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> j	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>	
	1							<input type="checkbox"/>	
If you wish to add additional Foreign Patent Document citation information please click the Add button									
NON-PATENT LITERATURE DOCUMENTS									
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.							T <sup>5</sup>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10627921
Filing Date	2003-07-28
First Named Inventor	Steven M.H. Wallman
Art Unit	3692
Examiner Name	Meinecke Diaz, Susanna M.
Attorney Docket Number	10392/460044



1	JON NEWBERRY, "Bye bye broker", ABA Journal, Mar. 1998, pg. 90, Vol. 84, Chicago, US	<input type="checkbox"/>
2	"Frankfurt to Launch Trading System", Wall Street Journal (Europe), Oct. 7th, 1997, pg. 14, Brussels, BE	<input type="checkbox"/>
3	"DIRECT-BUY STOCKS CUT OUT MIDDLE MAN", Palm Beach Post, Mar. 9, 1998, pg. 17, Palm Beach, US	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.